

STATE OF ALABAMA
DEPARTMENT OF MENTAL HEALTH

RSA UNION BUILDING
100 N. UNION STREET
POST OFFICE BOX 301410
MONTGOMERY, ALABAMA 36130-1410

www.mh.alabama.gov

September 29, 2022

RFP #2023-24

Dear Vendor:

The Alabama Department of Mental Health (ADMH) is soliciting proposals from qualified **fiscal/employer agents** to provide **Financial Management** services. Request for Proposals (RFP) will be accepted until **2:00 pm on Monday, October 17, 2022**.

The submission of a proposal does not guarantee the award of a contract. Any contract resulting from the proposal is not effective until it has received all required governmental approvals and signatures. In addition, the selected vendor shall not begin performing work under this contract until notified to do so by the departmental contracting agent.

When submitting a proposal, please read the entire RFP document and return your proposal in the requested format. All proposals should be submitted in ink or typed and contain an original signature. Submissions should be delivered to:

AL Department of Mental Health
Office of Contracts & Purchasing
100 North Union Street, Suite 570
Montgomery, AL 36104

MAILING NOTE: Proposals may be sent via Regular US Postal Service (USPS) Mail, Express/Overnight USPS Mail, commercial delivery service such as FedEx or UPS, or hand delivered by the closing date and time. Emailed or faxed responses are **not** accepted. Also, please note: All US Postal mail, including express/overnight mail that is dispatched to any State agency is processed thru the State mail facility before it is forwarded to the appropriate State agency, thus delaying its arrival to the department. By using the USPS, you assume the risk of delay that may result in your proposal being received late and therefore being determined to be untimely and will not be reviewed. Postmarks of the date mailed are insufficient; the proposal must **physically** be received at the listed office by the date and time specified regardless of the delivery service used. **All proposals received after the deadline will be deemed untimely and will not be reviewed.**

Sincerely,

Cedric Harrison

Cedric Harrison, Purchasing Director
Office of Contracts & Purchasing

Organization: ALABAMA DEPARTMENT OF MENTAL HEALTH (ADMH)

RFP Closing Date & Time: **2:00 pm on Monday, October 17, 2022**
Review the mailing note.

RFP Contact Info: Leola Rogers
ADMH
Office of Contracts & Purchasing
RSA Union Building
100 North Union Street, Suite 570
Montgomery, AL 36104
Telephone Number (334) 353-7440
Email: leola.rogers@mh.alabama.gov

MAILING NOTE:

Proposals may be sent via Regular US Postal Service (USPS) Mail, Express/Overnight USPS Mail, commercial delivery service such as FedEx or UPS, or hand delivered by the closing date and time. Emailed or faxed responses are **not** accepted. Also, please note: All US Postal mail, including express/overnight mail that is dispatched to any State agency is processed thru the State mail facility before it is forwarded to the appropriate State agency, thus delaying its arrival to the department. By using the USPS, you assume the risk of delay that may result in your proposal being received late and therefore being determined to be untimely and will not be reviewed. Postmarks of the date mailed are insufficient; the proposal must **physically** be received at the listed office by the date and time specified regardless of the delivery service used. **All proposals received after the deadline will be deemed untimely and will not be reviewed.**

ADDITIONAL INFORMATION
<ol style="list-style-type: none">1. Who may not respond to this RFP? Employees of DMH and current State employees.2. In order to transact business in the State of Alabama all businesses domestic and foreign must be registered with the Alabama Secretary of State Office. (Domestic means within the State of Alabama. Foreign means out-of-state.) Website: www.sos.alabama.gov3. If contracted with the State of Alabama, all vendors must enroll <u>and</u> actively participate in E-Verify. Website: https://www.e-verify.gov/4. All vendors must register with STAARS Vendor Self Service. Website: https://procurement.staars.alabama.gov/webapp/PRDVSS1X1/AltSelfService5. The Department of Mental Health reserves the right to reject any and all proposals if RFP instructions are not adhered to, such as: received after deadline (see mailing note), requested # of submissions not received.6. Protest As per Alabama Administrative Code §355-4-1 “Any bidder adversely affected by an intent to award a contract let by competitive bid shall file a notice of protest within five (5) calendar days after the notice of intent to award is electronically posted. The notice of protest may be filed by mail, by hand delivery, by email or by facsimile. The notice of protest must be filed with the ADMH Director of Purchasing by 5:00 PM, Central Time, on the fifth calendar day after the notice of intent to award is electronically posted. A formal written protest shall be

filed within seven (7) days, excluding Saturday, Sunday, and State holidays, after the notice of protest is filed. The formal written protest may be filed by email in PDF format or by mail or hand delivery. The formal written protest must be filed with the ADMH Director of Purchasing by 5:00 PM, Central Time, on the seventh day after filing the notice of protest. The bidder or its legal representative must sign the formal written protest or it will not be accepted. Failure to file either the notice of protest or the formal written protest within the time limits prescribed herein shall constitute a waiver of any protest of the award of contract. The formal written protest shall state with particularity the facts and law upon which the protest is based.”

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RFP 2023-24

Three (3) RFP Submissions: 1 original and 2 copies

Submit RFP Responses To:

AL Department of Mental Health
Office of Contracts & Purchasing
RSA Union Building
100 N. Union Street, Suite 570
Montgomery, AL 36104

The Alabama Department of Mental Health (ADMH) is soliciting proposals from qualified fiscal/employer agents to provide **Financial Management** services for the Division of Developmental Disabilities (DDD).

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SECTION I

A. VENDOR QUALIFICATIONS:

1. Have federal and state approval to operate as a Vendor Fiscal/Employer Agent (F/EA) under Section 3504 of the Internal Revenue Service (IRS) Revenue Procedure 70-6 and the January 13, 2010 IRS Notice of Proposed Rulemaking Regarding 3504 Agent Tax Liability.
2. Have experience with invoicing for, and receiving, payment based on approved timecard submission.
3. Have an on-boarding educational training and enrollment process for EORs.
4. Have payroll processing experience for waiver participant's employees and other support workers and making payments for other supports and services when authorized.
5. Have the ability to collect and process required employee information and documentation to assure waiver qualifications are met which includes criminal background checks.
6. Have a process for tracking training completion for EORs and direct support staff to report to the state to satisfy waiver performance measures required by CMS.
7. Have a comprehensive policy and procedure manual relating to programmatic and regulatory issues, which is updated annually.
8. Maintain current knowledge of state and federal rules, regulations, laws, and procedures as they relate to Vendor F/EA services withholding, filing, and paying federal and state income tax, Federal Insurance Contribution Act, Federal Unemployment Tax Act, and State Unemployment Tax Act.
9. Have a fully implemented records management process and retain client files and fiscal record in accordance with federal and state policies.
10. Have experience with brokering Worker's Compensation Insurance.
11. Have a procedure for treatment of federal taxes when an individual changes Fiscal Employer Agent/Financial Management Service during a calendar tax year.
12. Have experience in working with social workers, case managers, consumers, family members, providers, and employees.
13. Have available customer service support to respond to state personnel, case managers, consumers, family members, providers, employees, and explain call center procedures and hours of availability.
14. Be free of any conflict of interest; vendors cannot provide F/EA Financial Management Services (FMS) to an individual to whom it also provides a direct program service funded through the Medicaid program.

15. Perform all F/EA FMS tasks directly and may not delegate any of the F/EA FMS tasks to a third party entity.
16. Have a specified complaint and grievance policy.
17. Have a process for transferring participants from self-directed services back into traditional services.
18. Fully explain internal financial audits process required.
19. Have documented process for reimbursing the state for participants' unused funds following the end of each fiscal year.
20. Fully explain hiring requirements for FMS staff to include any required background screening or OIG federal exclusion list inquiries.
21. Fully explain current disaster recovery plans for client records including a contingency of operation plan.
22. The FMS must demonstrate the ability to meet the state standards for implementation of an Electronic Visit Verification Monitoring System as determined by Alabama Medicaid Agency. Information on the requirements can be found:
[http://www.medicaid.alabama.gov/content/6.0 LTC Waivers/6.1 HCBS Waivers/6.1.10 LTC Training.aspx](http://www.medicaid.alabama.gov/content/6.0_LTC_Waivers/6.1_HCBS_Waivers/6.1.10_LTC_Training.aspx)

B. SCOPE OF WORK:

- A. Contractor agrees to provide vendor fiscal/employer agent services in withholding, filing, and paying Federal and State income tax withholding in accordance with federal IRS and Department of Labor and State of Alabama Departments of Revenue and Industrial Relations rules and regulations.
- B. Contractor agrees to prepare and distribute individual enrollment and worker employment packages and assist individuals/employer of records with enrollment documentation.
- C. Contractor agrees to train individuals/employer of records, support coordinators, state consultants and contract providers on self-directed option/employer on record requirements and completion of employee paperwork.
- D. Contractor will manage invoices and purchases for goods and services rendered as and included in the individual's person-centered plan and budgets.
- E. Contractor agrees to prepare and submit the required reports to state AL DMH individuals/representatives on a monthly basis.
- F. Contractor agrees to invoice AL DMH monthly based on agreed per member fee.
- G. Contractor agrees to provide the AL DMH feedback as it relates to self-directed services and the effectiveness of the self-directed liaisons and support coordinators.
- H. Contractor agrees to collect and process the required employee information and documentation to assure waiver qualifications are met (which includes criminal background checks, exclusion database checks, and verification of citizenship).

- I. Contractor agrees to maintain and submit employee packets and timecard submissions to AL DMH quarterly to ensure the worker is qualified and services were provided in accordance with the person-centered plan.
- J. Contractor agrees to pay Self-Directed Personal Care staff on a bi-weekly basis.
- K. Contractor agrees to provide person/family easy access to problem resolution with payroll and provide a notification route to the Operating Agency (and any other people that support this person/family) for any issue that may arise.
- L. Contractor agrees to assure person/family is satisfied with the self-directed service.
- M. Contractor agrees to process all workers employment applications and provide the date the employee can officially begin working for the EOR.
- N. Contractor agrees to provide the following information in every instance in which an individual/family elects to transfer to a different entity providing vendor fiscal/employer agent services:
 - Proof of the employer's Federal Employer Identification Number (e.g., IRS CP 575 letter);
 - Proof of the employer's account number with the Alabama Department of Revenue to be used for filing State Income Tax. If applicable, include any login credentials for state portals.
 - Proof of the employer's account number with the Alabama Department of Labor to be used for filing State Unemployment Tax and, if available, proof of the current tax years' experience rate. If applicable, include any login credentials for state portals.
 - A report showing year-to-date wage and tax information for each employee employed by the individual/family.
 - Copies of all garnishment, levy, and lien orders for each worker employed by the individual/family, as if applicable.
- O. Contractor agrees to provide all required information to new fiscal/employer agent entity no later than 7 days after the date of transfer. To ensure state tax compliance, transfers will only be permitted on the first day of a new calendar quarter (January 1, April 1, July 1, and October 1.)
- P. Contractor agrees to collect data related to quality indicators as required by applicable waivers and to provide monthly reports to AL DMH.

SECTION II

A. Proposal Content

Instructions must be followed or responses will not be graded.

Each proposal is to contain specific responses to each of the following requests and respondents are encouraged to respond fully to each inquiry. Submit the response to each item with the item reproduced at the top of the page of the response.

1. Submit a cover letter summarizing your proposal. Limit the cover letter to no more than one page.

2. Attach the Vendor Contact Page.
3. A Table of Contents of the submitted information.
4. Attach vendor information to include:
 - Include previous experience.
 - Include knowledge of the requested services and/or any special training.
 - Include any information pertaining to the respondent's abilities to provide the scope of work for this RFP.
5. Attach a **detailed** budget (i.e.: frequency, pay rate, or detailed price list etc.).
6. All pages should be numbered consecutively beginning with **number 1** after the cover letter.
7. Submit one (1) original and two (2) copies of your entire proposal. **Note: Make sure at least one copy is single-sided.**
8. Clearly print on the outside of the envelope **RFP 2023-24 FMS.**

Your entire proposal must be received at the following address no later than **2:00 pm on Monday, October 17, 2022. Please review the mailing note.**

Submit RFP Responses To:

AL Department of Mental Health
Office of Contracts & Purchasing
RSA Union Building
100 N. Union Street, Suite 570
Montgomery, AL 36104

The Department of Mental Health assumes no responsibility for expenses incurred in the preparation of the proposal and reserves the right to reject any and all proposals. Additionally, ADMH reserves the right to waive irregularities in any proposals and request clarification of any information and negotiate with the firm and/or individual submitting the best proposal to secure more favorable conditions.

B. Evaluation Process

ADMH will examine each proposal submitted and may elect to conduct interviews with finalists. The department expects a final selection on or before November 21, 2022.

C. Selection Criteria

Selection shall be based on factors to be developed by the procuring state entity, which may include among others, the following:

1. Vendor's specialized expertise, capabilities, and technical competence, as demonstrated by the proposed approach and methodology to meet project requirements.
2. Resources available to perform the work, including any specialized services within the specified time limits for the project.
3. Record of past performance, quality of work, ability to meet schedules, cost control and contract administration.
4. Availability to and familiarity with the project locale.
5. Proposed project management techniques.
6. Ability and proven history in handling special project contracts.

D. Evaluation Criteria

Proposals will be evaluated based on their responsiveness to the items contained in the content section of this Request for Proposal. It is expected that the review committee will rate responses according to the following ways:

1. Experience, stability, and reputation –35%
2. Understanding of and responsiveness to the Request for Proposal – 15%
3. Expertise and knowledge of the requested scope of work – 35%
4. Budget and ability to complete project within specified time frame – 15%

SECTION III SCHEDULE OF EVENTS

RFP 2023-24: Fiscal/Employer Agent

The following RFP Schedule of Events represents the ADMH's best estimate of the schedule that shall be followed. *Except for the deadlines associated with the vendor question and answer periods and the proposal due date, the other dates provided in the schedule are estimates.* ADMH reserves the right, at its sole discretion, to adjust this schedule as it deems necessary. Notification of any adjustment to the Schedule of Events shall be posted on the RFP website at www.mh.alabama.gov for review. All times are **in Central Time**.

Date	Item	Methods
September 29, 2022	RFP Release	USPS, ADMH Website, and STAARs website
October 6, 2022 by 12:00 pm	Deadline to submit RFP questions or requests for clarification in Word	Email to leola.rogers@mh.alabama.gov
October 11, 2022	RFP Q&A to be posted for review	ADMH website www.mh.alabama.gov
October 17, 2022 2:00 pm	RFP Submissions: 1 original & 2 copies	USPS or FedEx or UPS (Review mailing note)
October 17, 2022 2:00 pm	RFP Closing Date	USPS or FedEx or UPS (Review mailing note)
November 21, 2022 Approximately	Notification of selection status	USPS (In writing)
Submit RFP Responses To: AL Department of Mental Health Office of Contracts & Purchasing RSA Union Building 100 N. Union Street, Suite 570 Montgomery, AL 36104		

RFP CONTACT PAGE

Vendor's Legal Name	
Street Address	
City, State & Zip Code	
Contact Person	
Contact Phone #	

NOTE: Attach this page after the cover letter.